

# Small Arms/Light Weapons and the Data Management Process

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# Briefing Overview

- Introduction
  - Brief explanation of the role of OSD/Treaty Compliance and the DoD Directive from which authority is drawn.
- Overview of the Current Export Reporting Process
- OSCE Small Arms Light Weapons Document, Wassenaar Arrangement, United Nations Register
  - SA/LW Definitions
  - Roles and Responsibilities
  - Reporting Process
- The Way Forward
- DoD Data Management Course

# List of Acronyms

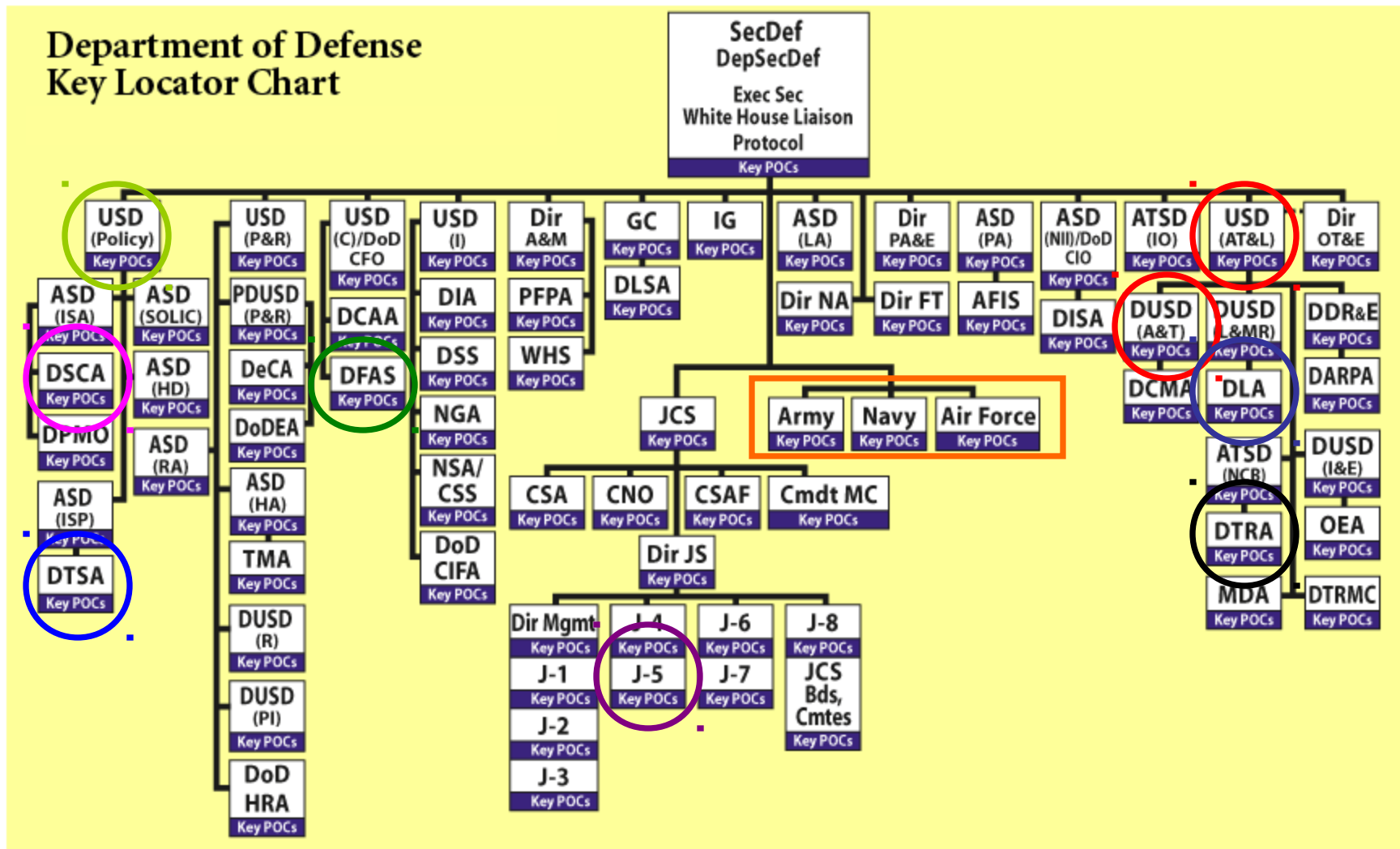
- CMTS – Compliance Monitoring and Tracking System
- CRG – Compliance Review Group
- DFAS – Defense Finance and Accounting Service
- DLA – Defense Logistics Agency
- DSCA – Defense Security Cooperation Agency
- DTSA – Defense Technology Security Administration
- IWG – Implementation Working Group
- MANPADS – Man-Portable Air Defense Systems
- MASL – Military Articles and Services Listing
- OSCE – Organization for Security and Cooperation in Europe
- SA/LW – Small Arms / Light Weapons
- TC – Office of Treaty Compliance
- UN – United Nations
- UNTIA – UN Transparency in Armaments (also known as UN Register)
- USG – United States Government
- WA – Wassenaar Arrangement

# DoD Directive 2060.1: Implementation of, and Compliance with, Arms Control Agreements

## Section 4. Responsibilities

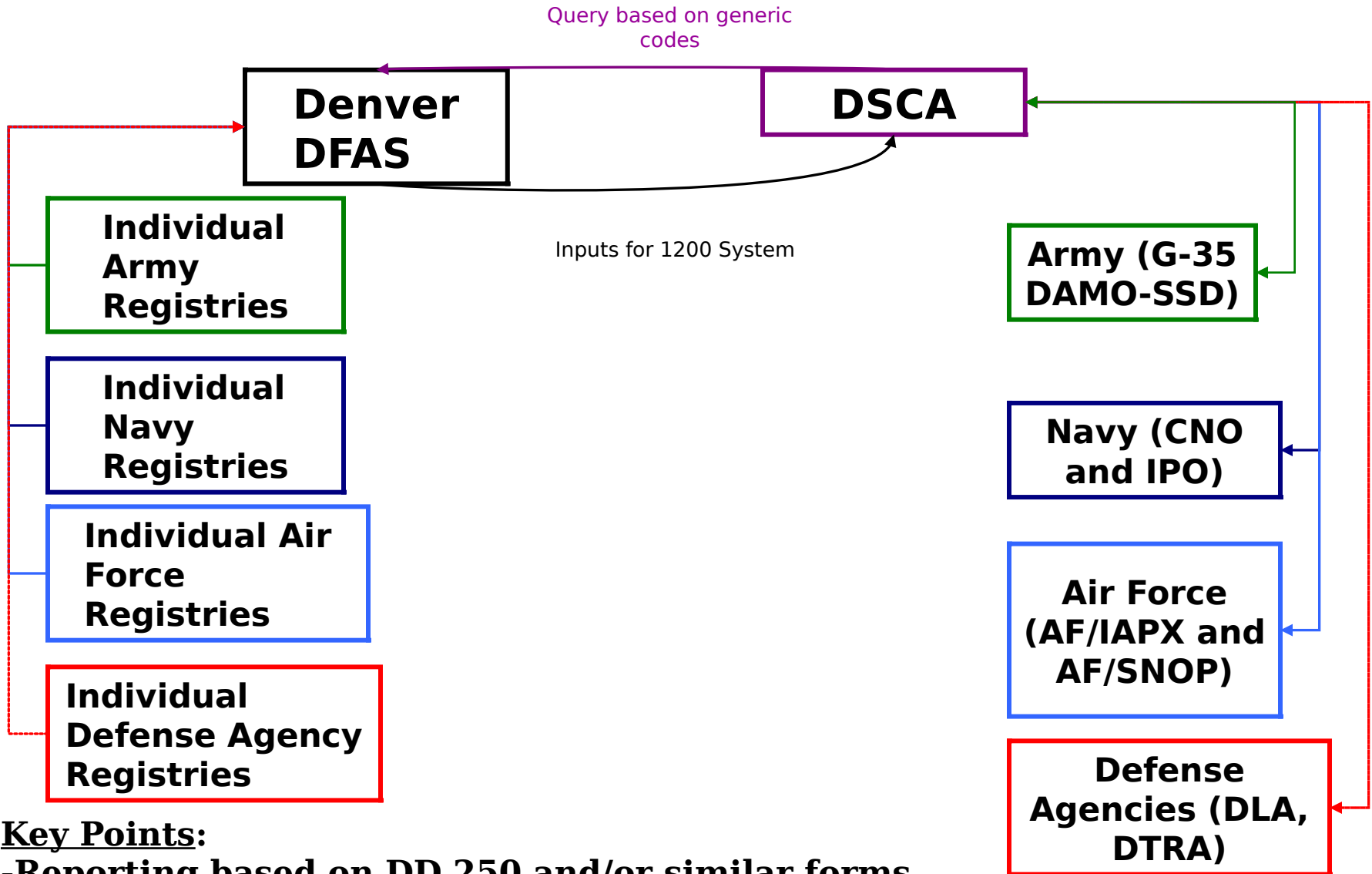
- 4.1 The Under Secretary of Defense for Acquisition, Technology, and Logistics shall:
  - 4.1.1 Oversee implementation of, and provide guidance through appropriate chains of command for, planning and execution throughout the Department of Defense to ensure that all DoD activities fully comply with arms control agreements.
  - 4.1.6 Certify, as necessary, that specific planned activities are in compliance with arms control agreements.
  - 4.1.7 Monitor all DoD activities for compliance with arms control agreements and, as necessary, conduct or direct reviews to determine if there are issues that should be brought before a CRG [Compliance Review Group] to ensure compliance.

# DoD Organization Chart



Prepared by:  
Organizational and Management Planning  
November 1, 2003  
Revised December 2003

# Current Export Reporting Process



## Key Points:

- Reporting based on DD 250 and/or similar forms
- Each Service and Agency has a different database system and different informational processes
- No high level Service coordination or review prior to input to Denver

# OSCE Small Arms and Light Weapons Document

## Preamble

- 3. Recognizing the need to strengthen confidence and security among the participating States through appropriate measures on small arms and light weapons\* manufactured or designed for military use (hereinafter referred to as "small arms"),

\* There is not yet an internationally agreed definition of small arms and light weapons. This document will apply to the following categories of weapons while not prejudging any future internationally agreed definition of small arms and light weapons. These categories may be subject to further clarification and will be reviewed in the light of any such future internationally agreed definition.

- **For the purposes of this document, small arms and light weapons are man-portable weapons made or modified to military specifications for use as lethal instruments of war. Small arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns. Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibres less than 100 mm.**

# OSCE SA/LW Document Reporting Requirements and USG Roles

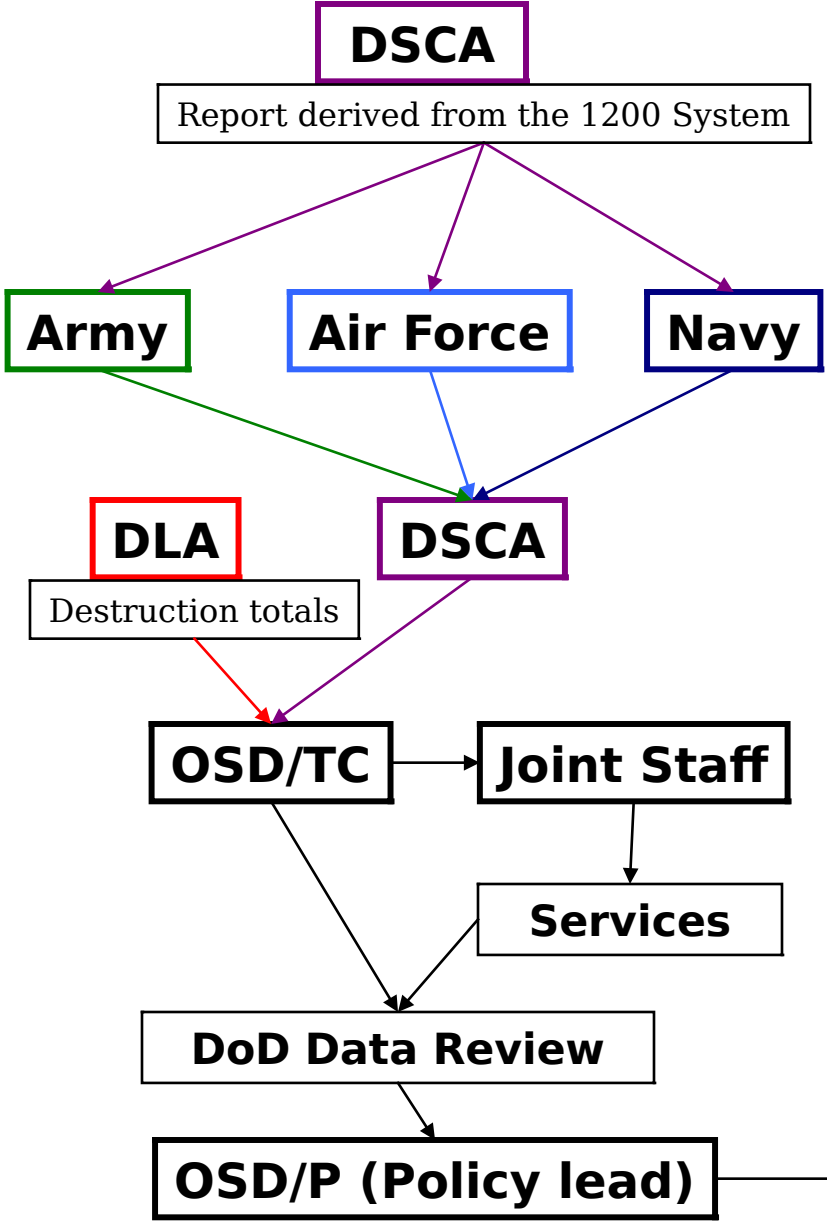
**U.S. is responsible for annually exchanging information on small arms exports to, and imports from, other OSCE Participating States (Section III, Subsection F), as well as information on small arms that have been identified as surplus and/or seized and destroyed (Section IV, Subsection E). Further, the United States updates the initial exchange of general information, as necessary.**

## Roles and Responsibilities

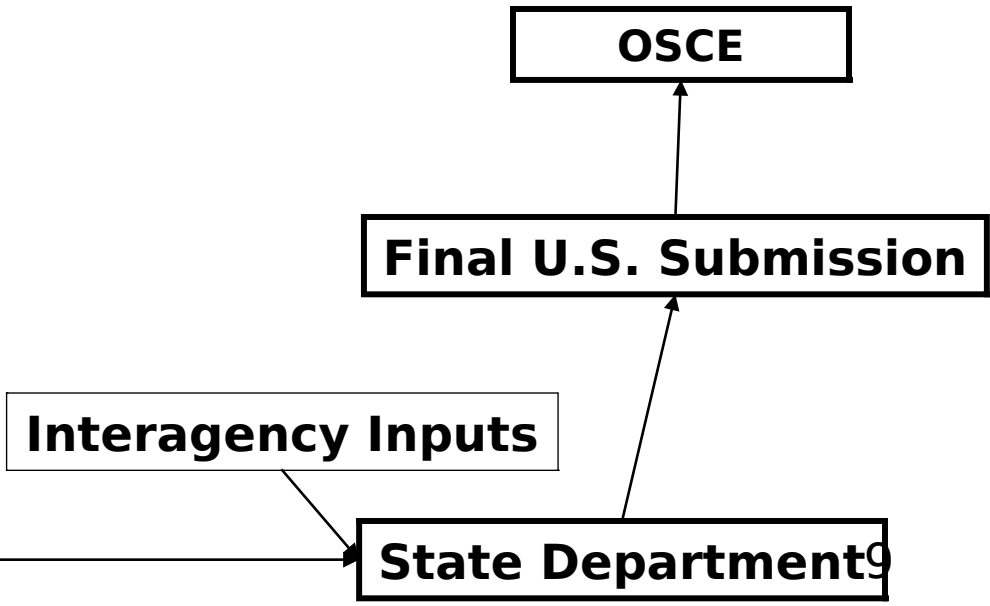
DSCA	DLA	Services	Joint Staff	OSD/TC	OSD/P	IWG	Interagency
<ul style="list-style-type: none"> <li>• Prepares the list of small arms and light weapons to be reported in the annual submission</li> <li>• Compiles export data.</li> <li>• Participates in the IWG and data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Provides the number of small arms destroyed during the previous calendar year.</li> </ul>	<ul style="list-style-type: none"> <li>• Review compiled data.</li> <li>• Participate in the IWG and data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Coordinates SA/LW data with Services for comments and concurrence</li> <li>• Participates in the IWG and data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Chairs IWG.</li> <li>• Chairs the data review.</li> <li>• Oversees compilation of annual data submission and information updates</li> </ul>	<ul style="list-style-type: none"> <li>• Reviews final DoD data and transmits to State Department.</li> <li>• Participates in the IWG and data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Coordinates list of weapons.</li> <li>• Reviews and updates stockpile management information, national legislation, and procedures related to small arms and light weapons, as necessary.</li> <li>• Validates equipment captured under</li> </ul>	<ul style="list-style-type: none"> <li>• Compiles final USG submission and sends to OSD(P), TC, Joint Staff for final review prior to transmittal to the OSCE on June 30<sup>th</sup>.</li> </ul>



# OSCE Small Arms and Light Weapons Document Reporting Process



Information on imports, exports, and SA/LW destruction that occurred in the previous Calendar Year are due to OSCE by June 30.



# Wassenaar Arrangement Definitions

- 8. Small Arms and Light Weapons – Man-Portable Weapons made or modified to military specification for use as lethal instruments of war
- 8.1 Small Arms – broadly categorised for reporting purposes as: those weapons intended for use by individual members of armed forces or security forces, including revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns.
- 8.2 Light Weapons – broadly categorised for reporting purposes as: those weapons intended for use by individual or several members of armed or security forces serving as a crew and delivering primarily direct fire. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; and mortars of calibre less than 75 mm.
- 8.3 Man-Portable Air-Defence Systems – broadly categorised for reporting purposes as: surface-to-air missile systems intended for use by an individual or several members of armed forces serving as a crew.

# Wassenaar Arrangement Reporting Requirements and USG

**U.S. provides information on exports to non-Wassenaar countries up to and including the CONFIDENTIAL level of military equipment in eight arms categories to non-Wassenaar countries (Appendix 3 of the *Initial Elements*). Further, the U.S. reports all denials of licenses of Tier 1; and all licenses issued, denied and transfers made of Tier 2 dual-use goods and technologies to non-Wassenaar countries. The dual-use goods and technology categories are derived from control lists (Appendix 2 of the *Initial Elements*).**

## Roles and Responsibilities

DSCA	Services	Joint Staff	DTRA	OSD/TC	DTSA	Commerce	State
<ul style="list-style-type: none"> <li>• Compiles Service export data and submits to TC for review.</li> <li>• Participates in data review.</li> <li>• Maintains database of reportable equipment.</li> </ul>	<ul style="list-style-type: none"> <li>• Participate in data review.</li> <li>• Submit information on exports to DSCA.</li> </ul>	<ul style="list-style-type: none"> <li>• Assists Services in reviewing arms export data.</li> <li>• Participates in data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Provides technical support during the data compilation process.</li> <li>• Acts as the CMTS Systems Administrator.</li> </ul>	<ul style="list-style-type: none"> <li>• Chairs DoD data review to validate the data.</li> <li>• Submits DoD data to DTSA.</li> </ul>	<ul style="list-style-type: none"> <li>• Compiles final DoD submission for transmittal to the Interagency</li> </ul>	<ul style="list-style-type: none"> <li>• Reports on dual-use goods and technologies</li> <li>• Submits data to the Interagency.</li> </ul>	<ul style="list-style-type: none"> <li>• Compiles DoD and DoC data and approves final U.S. submission.</li> <li>• Transmits data to Wassenaar countries.</li> </ul>

# Wassenaar Arrangement Reporting Process

## DSCA

Lists of Reportable Equipment derived from the Military Articles and Services Listing (MASL)

**Army**

**Air Force**

**Navy**

Individual Service reports on exports.

**DSCA**

**OSD/TC**

**Joint Staff**

**Services**

**DoD Data Review**

**DUSD (SP/CP) (Policy lead)**

**Interagency Inputs**

**State Department**

**Final U.S. Submission**

**WA Countries**

Information on exports to non-WA countries is reported on a biannual basis.

-January to June: Reported in September of same year.

-July to December: Reported in April of following year.

# Wassenaar Countries

Argentina	Greece	Korea
Australia	Hungary	Romania
Austria	Ireland	Russia
Belgium	Italy	Slovakia
Bulgaria	Japan	Spain
Canada	Luxembourg	Sweden
Czech Rep.	Netherlands	
Switzerland		
Denmark	New Zealand	Turkey
Finland	Norway	Ukraine
France	Poland	United
Kingdom		
Germany	Portugal	United States

Exports to non-Wassenaar countries are reported

# United Nations Transparency in Armaments (UNTIA)

## Annex IV Categories of equipment and their definitions

- VII Missiles and missile launchers
  - (a) Guided or unguided rockets, ballistic, or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometers, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this subcategory includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.
  - (b) Man-Portable Air-Defence Systems (MANPADS) <sub>14</sub>

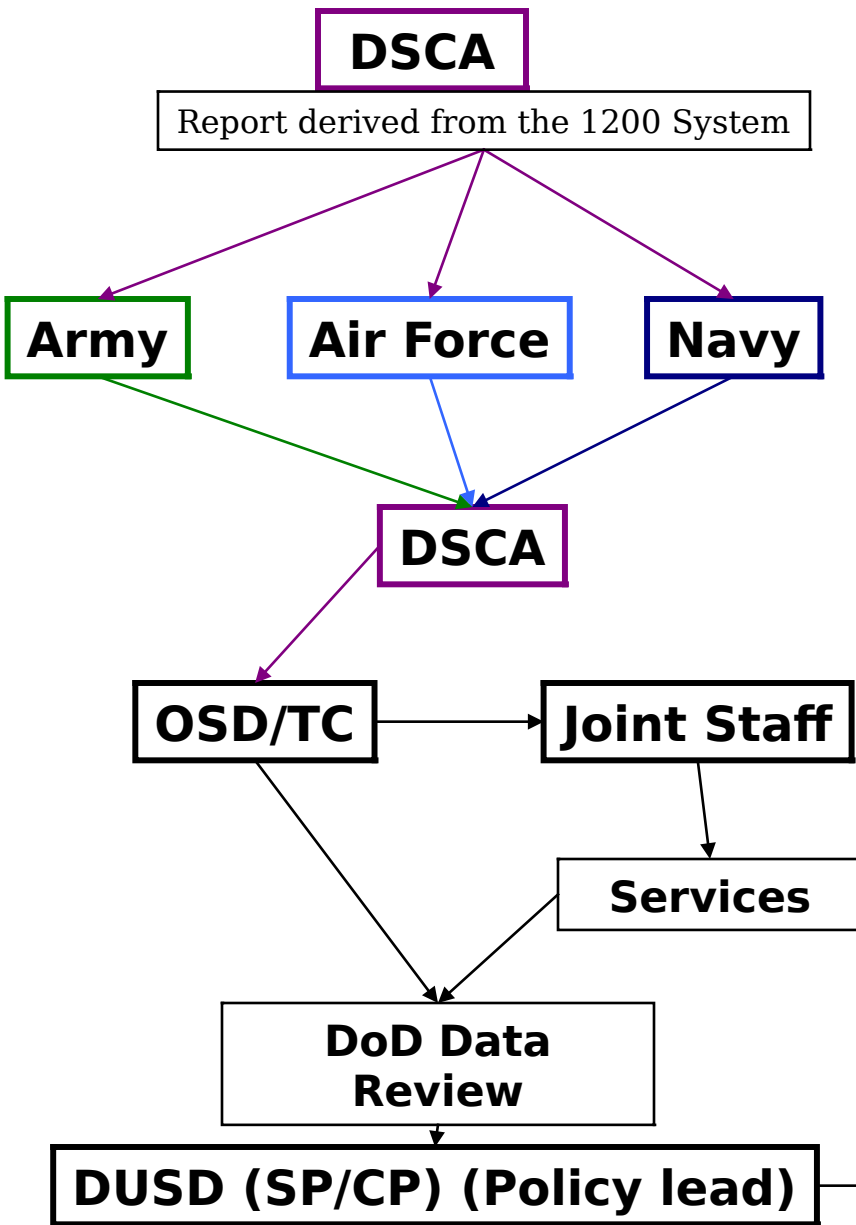
# UNTIA Reporting Requirements and USG Roles

**U.S. provides information on conventional arms imports, exports, (Resolution 46/36L Para 9) military holdings, procurement through national production (Resolution 46/36L Para 10), and relevant policies.**

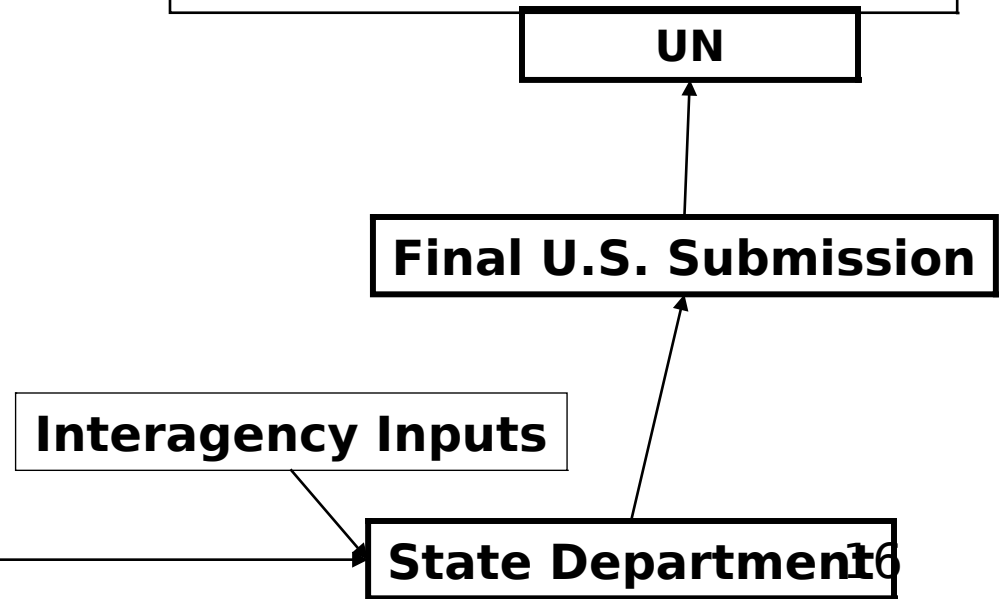
## Roles

DSCA	Services	Joint Staff	DTRA	OSD/TC	DTSA	Commerce	Interagency
<ul style="list-style-type: none"> <li>• Compiles Service data and submits to TC for review.</li> <li>• Participates in data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Submit information on exports to DSCA and submits procurement through national production and import data via CMTS.</li> <li>• Participates in data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Assists Services in reviewing arms export data.</li> <li>• Participates in data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Provides technical support during the data compilation process.</li> <li>• Acts as the CMTS Systems Administrator.</li> </ul>	<ul style="list-style-type: none"> <li>• Chairs DoD data review to validate the data.</li> <li>• Provides Service import and procurement through national production data from CMTS to DTSA</li> <li>• Submits DoD data to DTSA.</li> </ul>	<ul style="list-style-type: none"> <li>• Compiles final DoD submission for transmittal to Interagency</li> <li>• Participates in data review.</li> </ul>	<ul style="list-style-type: none"> <li>• Provides data on imports of reportable equipment to Interagency.</li> </ul>	<ul style="list-style-type: none"> <li>• Compiles and approves final U.S. submission.</li> </ul>

# UN Register Reporting Process



Information on imports, exports, holdings, and procurement through national production that occurred in the previous Calendar Year are due to the United Nations by April 30.





# The Way Forward

- OSD needs accurate and timely data to ensure compliance with all arms control treaties and agreements.
- Arms and export control regimes have divergent definitions of SA/LW.
  - OSCE vs. WA
    - WA does not include portable anti-aircraft guns.
    - WA mortar threshold is 75mm while the OSCE threshold is 100mm.
  - UNTIA vs. WA vs. OSCE
    - UNTIA categorizes MANPADS in the Missile and Missile Launcher category
    - WA categorizes MANPADS in a Small Arms, Light Weapons, and MANPADS category, each representing their own separate subcategory.
    - OSCE categorizes MANPADS as Light Weapons.
- Better communication is essential to meeting reporting requirements.
- Every office has an important role in ensuring DoD compliance.

# Data Management Course – January 2005

- Organized by the OSD/Treaty Compliance Office and sponsored by DTRA.
- January 25-26, 2005 in Alexandria, Virginia
- Topics to be covered:
  - Role of Information Exchanges
  - Treaty and Agreement Overviews
    - Treaty on Conventional Armed Forces in Europe (CFE)
    - Vienna Document
    - Global Exchange of Military Information (GEMI)
    - Wassenaar Arrangement (WA)
    - OSCE SA/LW Document
    - UN Register
  - Data Reporting Processes
  - Information Systems used to process data
  - Definitional Differences

## Contact Information - Useful Links

- Shirley McClain Grosner  
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(703) 695-3174  
(703) 697-9532 (UNCLAS FAX)
- UN Register -  
[http://disarmament2.un.org/UN\\_REGISTER.nsf](http://disarmament2.un.org/UN_REGISTER.nsf)
- OSCE SA/LW -  
<http://www.osce.org/docs/english/fsc/2000/decisions/fscew231.htm>
- Wassenaar Arrangement - <http://www.wassenaar.org/>